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ABSTRACT

Eight papers which are concerned with the keeping of business and historical archives were presented at the Institute. They are: "Appraisal of Business Records," "Oral History," "Labor History Archives," "Arrangement of Manuscripts," "Manuscript Collections of the State Historical Society of Wisconsin," "Special Materials: Still Picture Collections," "Subject Filing: A Review and Critique," and "The Record Group Concept." (Other Papers from this Institute are available as LI 002962-LI 002964 and LI 002966 through LI 002976). (Author/NH)

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[SELECTED PAPERS FROM THE INSTITUTE IN ARCHIVAL LIBRARIANSHIP,
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Appraisal of Business Records

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Judith O. Combs
Librarianship 507
Archives
November 18, 1967

Appraisal of Business Records

Archivists have disagreed over the years on the role that archivists should play in the appraisal of records. Sir Hilary Jenkinson disliked the idea of archivists getting involved in evaluating records because he feared that an archivist's bias might influence his decision as to whether or not certain records were to be saved. He felt that the creating agency should take the responsibility of evaluation. W. Kaye Lamb says that "Jenkinson was loathe to see the archivists play an active part in the destruction of records. He hoped that the archivist somehow could manage to be essentially a custodian--the conservator, carefully guardian of whatever records good luck and good management [illegible] and placed in his keeping."[1*]

The most recent position [illegible] in the evaluating of records is that an archivist should have the final decision. Ernst Posner feels very strongly on this issue. In his book on state archives he points out that in many states the decision of what is to be saved or destroyed rests with an ad hoc committee, commission or board, key officials of the state, legislative committee, governor or other non-archival official of the state.[2] The undesirability of this procedure can be seen in the perfunctory manner in which some groups handle the decision-making task. There is also the danger that the group may be unstable or that the archivist is unable to convince the group of the importance of their decisions.[3] Posner would deal with the problem by having the archivist or head of his agency serve as chairman, secretary or member of the committee of review, by having permission required of the archivist or head of his parent agency to

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*Footnotes follow text.

destroy records, by having the archivist separate out records he wants saved before action is taken by the committee on the remainder, or by having the head of the creating agency have the last say on records which he wants kept when there is no archivist to claim them.[4]

T. R. Schellenberg thinks that the primary value (for the originating agency itself) should be judged by agency officials, while the secondary value (for other agencies and private users) should be judged by an archivist. He says further that, "Ordinarily, for that matter, an archivist, no matter what his training, will appraise records primarily on the basis of their historical value or interest."[5]

The main objective of records appraisal and disposition is to reduce the volume of records kept. Another consideration is that the disposal of useless records will make it easier for the researcher to use the remainder of them. In fact, Philip Brooks says that an archivist can be of more help to researchers "...by encouraging intelligent methods of selection of records for preservation than he can be assisting the users of archival material after it has been filed away."[6] There are secondary values to be derived from records appraisal such as increased efficiency by streamlined records-keeping, more office space available after appraisal and disposition, and having a detailed list of what records exist.

The systematic collection and preservation of business records started on a large scale in the United States in the Widener and Baker Libraries at Harvard University between 1910 and 1930.[7] This was probably about the same time that business became aware of (or was made aware of) the value of old records. Oliver W. Holmes thinks that many old retention/disposal schedules exist and would tell us what records business has thought it important to keep and would point out differences in value to business and to scholarship.[8] In 1938 when Holmes' article on the appraisal

of business archives was published, the Irving Trust Company of New York was requiring its branches to send certain classes of records for storage according to a regular retention schedule, and other firms were doing similar things.[9] Businesses which published retention/disposal schedules and/or policies a number of years ago include the Interstate Commerce Commission, National Electric Light Association (1923), and National Fire Protection Association (1935).[10] The Kay-Dee Company of Pittsburgh, manufacturers of filing equipment, published a pamphlet entitled, "Records--How Long They Should Be Kept; What, How, and When to Destroy; How to Preserve."[11]

Holmes says that the method by which records were kept was a deciding factor in which records were kept late last century and early this century.[12] Before 1890 businesshouses kept records of every kind in bound books. Shortly after 1870 cards began to be used as an index to records, and after 1900 records started being transferred to cards. The use of carbon copies of records began about 18[illegible], and vertical filing dates from the same period. Loose-leaf binders appeared a few years later. Because throwing a bound volume away was much more difficult to do than disposing of loose papers, we have instances of records of 1870s and 1880s existing while records after 1900 are scarce.[13]

Business has probably been more "radical" in the destruction of its correspondence and managerial memoranda, but more conservative with detailed financial records which could be disposed of if summary records were made.[14] Also there are certain businesses such as banks, insurance companies, and law firms which are naturally conservative in their destruction of papers, and some of them have created respectable archival establishments.[15]

Another influence on the evaluation of business records has been the government. The federal government has exercised strict regulation over records of all business which falls into the public utility classification (i. e. valuation data must be considered in setting rates, etc.).[16] In the same vein government makes it necessary to keep records for tax purposes. Each year the National Archives and Records Service updates its "Guide to Records Retention Requirements" so that business will know what federal law requires to be kept and for how long. It is interesting to note in this connection that for years the federal government has been publishing its records, while business records are made available only in summary reports for internal consumption.[17]

An archivist involved with business records probably will find himself dealing with either one large business collection if he is employed by a firm, or with many smaller collections if he is employed by an educational institution or a historical society. An archivist working in the latter capacity will do most of his appraisal in his own repository after records have been solicited or volunteered for deposit. He may also be called to the scene of destruction of a business where he may have to grab what he can get his hands on, or if he is lucky he may have a chance to leisurely inventory and appraise records at the business site before they are deposited. In whatever manner he attains the records, there is very little chance that he may take part in the records creation or records management process. He will have to evaluate the records without knowing as much about the business as he should know to do a thorough job. Here is where he must rely on his knowledge of the region and the history of business there.

An archivist employed by a particular firm will be dealing with records of branches and departments of the same business rather than

with individual business collections. He will have a much better knowledge of the business and its internal workings than his university or historical society counterpart will have of his collections. He would most likely be involved in the records management process (which this paper does not attempt to deal with). The archivist in this situation could do a proper job of evaluation and could attain a certain amount of regularity in the transfer of records.

It is obvious that an archivist must set some appraisal standards. Ralph M. Hower feels that the guiding principle in preservation of business records is to select that material which will yield ". . .accurate and reasonably complete information about every phase of the business--production, distribution, management, finances, personnel, accounting, and plant."[18]

The archivist needs to take into consideration duplication, age and volume, organizational and functional content, and research interest and trends. An archivist working within a business is capable of dealing with duplication because of his intimate knowledge of work flow and paperwork. He knows how many copies exist and where. The archivist in an institution or historical society may not know whether his material is duplicated elsewhere.

A rule of thumb is to think twice about discarding something of age. There was not the extent of duplication in the past, nor was there the proliferation of paper that has taken place since the turn of the century. Wayne State University retains practically all existing records of early labor unions because not that many records are extant. I would imagine that they are finding it necessary to dispose of a great deal of excess paper in the recent records of the United Auto Workers because of its bulk.

Philip Brooks says that the archivist must know the agency of origin, its history, its objectives, and its methods as well as know the relationships of records to each other.[19] He would also have the archivist know and be alert to changes in the scope and methods of research. The archivist should also be acquainted with the use actually made of the records which we have preserved, and for that reason people who appraise records should be involved with providing service on them.[20]

T. R. Schellenberg would have the archivist be aware of the "evidential" and "informational" value of records.[21] By this he means that some records give evidence of how the agency (or business) was organized and how it functioned. These functional records can be of great value to students who wish to analyze the experiences of an agency in dealing with organizational, procedural, and policy matters.

Informational value is derived from the information that is in records on persons, places, subjects, and the like with which public agencies (or a business) deal; not from the information that is in such records on the agencies themselves.[22] Schellenberg's evidential and informational values may apply more to governmental agencies than to private business, but business too should be aware of the importance of these values.

Using the above criteria as guidelines, the archivist will want to further classify his records to be retained. Mr. Hower believes that business should keep the following types of records: accounting, purchasing, production, inventory, labor and personnel, sales, advertising, statistics, general and financial (includes correspondence).[23] Knowing what records are available, the archivist will know which specific records will yield the above (or similar) information and can discard the remainder. The archivist should also consider the methods to be used in the

appraisal process such as sampling, reducing volume through microforms, and others.

For the archivist not employed by business, the best way to obtain business records is to contact the business personally. Although advertising for records may bring in some record groups, the best method is direct solicitation.[24]

The next step is appraisal of the records whether working within a business or for a repository. The best way to do this is to survey the existing records. Besides being the basis for an intelligent records disposition program, an inventory can be important for reference and research purposes, can furnish information needed for better use of present space and equipment and planning for future needs, and can be used for further studies and systems analysis.[25] Robert Bahmer in speaking of federal records says that the inventory should be made by the files personnel within the creating agency.[26] This might be feasible for the records of a large firm, but smaller, individual business collections will most likely be inventoried by the archivist. The inventory should cover all records produced or accumulated by the agency (or business) at its central location and outposts.[27] After a complete inventory has been completed, the archivist can get down to the business of appraisal, and in a continuing operation can initiate retention/disposal schedules for disposition of different series of records at regular intervals.

Sir Hilary Jenkinson anticipated the use of record retention/disposal schedules. He spoke of "...graded periods of preservation applying to specified classes of documents," and referred to "destruction books" and "destruction diaries."[28] Robert Bahmer, in speaking of the disposition of records, said that disposition schedules should establish a standard, uniform and considered policy for the retention, transfer,

and disposal of records; should provide for regularity in the retirement and disposal of useless papers from the files; should give protection to the valuable core of records that must be retained; should inform archival institutions as to what material they may expect to receive; should provide the records officer with an inventory that will make possible the rendering of a more complete reference service to the officials of his agency; should furnish filing officials with a sound basis for the formulation of classification schemes.[29] There are probably as many types of retention/disposal schedule forms as there are offices using them. The proper form is that one which works for the individual firm. This can as well be said for other generalities dealt with in this paper.

After records have been appraised and their disposition decided, it is time to decide what to do with the records that will be kept temporarily or permanently. Instead of firms storing their records in their own warehouses or whatever, Mr. Holmes suggests that business firms establish and support cooperatively central depositories in defined regions, or set them up by industries and have them managed or supported by trade associations.[30] This would certainly be of help to the researcher doing a more general study of business. I believe that this is being done on a small scale in a few places in the United States.

This paper has only touched on the various aspects of records appraisal because of the depth of the subject. The main point to understand is that no appraisal scheme will work for all firms at all times. As time goes on appraisal plans must be modified to keep up with the current need.

FOOTNOTES

1. Lamb, p.52.
2. Posner, p.325.
3. Ibid, p.326
4. Ibid.
5. Schellenberg, p.150.
6. Brooks, p.222.
7. Macmillan, p.108.
8. Holmes, p.179.
9. Ibid, p.178.
10. Ibid.
11. Ibid.
12. Ibid, p.176.
13. Ibid, p.177.
14. Ibid.
15. Ibid.
16. Ibid, pp.182-83.
17. Ibid, p.173.
18. Hower, p.43.
19. Brooks, p.233.
20. Ibid, p.234.
21. Schellenberg, p.139.
22. Ibid, p.148.
23. Hower, pp.44-50.
24. Macmillan, p.117.
25. Calkins, p.252.
26. Bahmer, p.171.
27. Ibid, p.172.
28. Lamb, p.51.
29. Bahmer, p.172.
30. Holmes, p.181.

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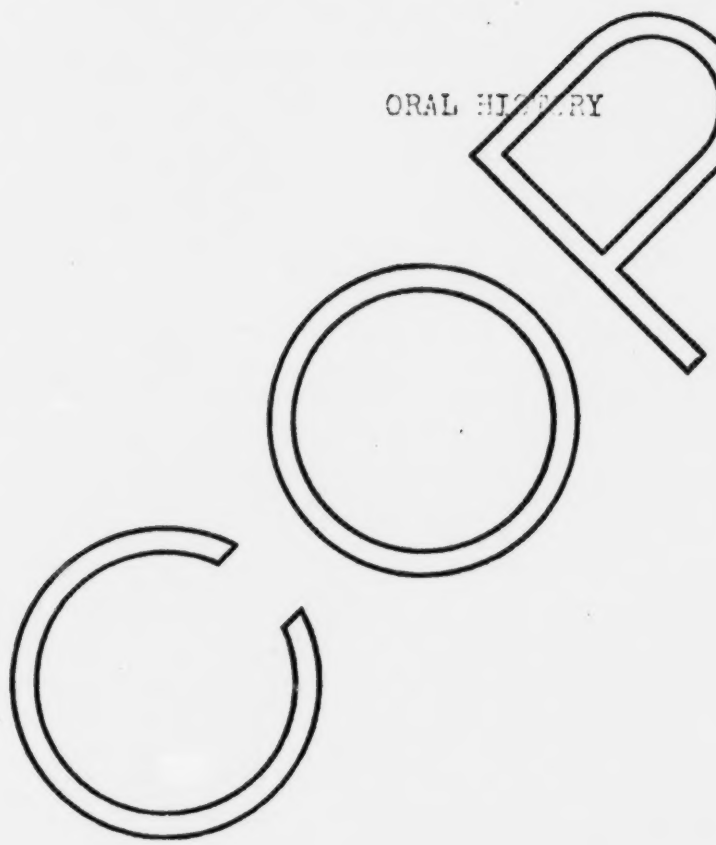
ORAL HISTORY



Judith C. Combs
Librarianship 507
Archives
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Oral History

The problem in collecting oral history interviews, unlike other special materials, is not one of storage and preservation, but the proper making of the record itself. In regard to special materials such as moving and still pictures and microfilm, a picture produced can generally be assumed to be a valid record of its time. However, this is not true of tape-recorded interviews.[1*] Memories can be faulty, conditions under which the interview is conducted can affect its [illegible] historical documentation, transcription can be done [illegible], and many other factors can affect the historical validity of a tape-recorded interview.

Magnetic tape is not permanent, so transcription of the interview is necessary. Reels can be stored loosely in archival containers on the shelf or in envelopes in a vertical file. The consensus of opinion is that the tapes should be rewound whether or not a sample of the voice is retained on a piece of the tape. Improvements are being made in the quality of magnetic tape, but the researcher would probably prefer to work with the transcript for the sake of convenience.

Tape-recorded and non-tape-recorded interviews have been the tool of historians for many years. Labor history has depended on the oral history interview for more than 30 years. Horace Cayton and George Mitchell interviewed about 300 workmen, plant managers and union officials to write Black Workers and the New Unions (Chapel Hill, N.C., 1939).[2] Leonard Sayles and George Strauss interviewed several hundred union members in preparing The Local Union; Its Place in the Industrial [illegible] (New York, 1953).[3] While having with the collection of data, Ernest Hill wrote Ford; the Times, the Man, the Company (New York, 1954) largely from oral sources.[4]

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*Footnotes follow text.

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In 1953 Miss Corinne Gilb headed an experimental oral history project which began in the Bancroft Library of the University of California.[10] In 1955 the program became the Regional Cultural History Project now housed in the General Library at the University. In November of 1956 the University's Institute of Industrial Relations, in Berkeley and Los Angeles, asked Miss Gilb to undertake a similar project in the field of labor-management relations, beginning first with leading employers and labor officials in California and including eventually similar leaders throughout the Western States.[11]

Standards for making oral history records are necessary for a number of obvious reasons. Probably most important is to protect the public from receiving misleading or false information about the past. And in conjunction with this point is the consideration that without adequate standards in recording, historical researchers of the future may condemn the interviews of today.[12] If the collecting agency or institution wishes to attract financial support for its project it is best to standardize procedures for making oral history records.[13] Another large factor is the time involved in oral history, and time is money. It is necessary to keep the interviewee from wasting valuable time,[14] and to keep the interviewer from wasting his time as well. Donald Swain found from his own experience that oral history is very expensive, especially if a tape-recorder is used. Mr. Swain estimates that including time for preparation, travel, transcribing, and editing the ratio of manhours to actual interview time is 40 to 1.[15] The better standards are in recording, the less time will be wasted in inconsistencies and duplication of effort.

There are certain general steps to be taken in conducting oral history interviews regardless of the nature of the program for which it is being undertaken. The specific details of interviewing will depend on

the use of the tape, intended scope and other factors. The person who bears the responsibility for the implementation of these steps is generally the interviewer. In some large operations the interviewer may not have to do all of the preliminary research and follow through on the transcription, but he should be intimately acquainted with these details of the operation.

The interviewer's first responsibility is to know where the gaps in written history exist. There is no use to document through oral history that which is already well known through written records.[16] This means that the interviewer must familiarize himself thoroughly with primary and secondary sources on his subject and know what he needs to find out in an interview, or, indeed, if an interview is necessary at all.

When the interviewer decides that he would like to interview a certain person who may have information valuable to his research, he must then cautiously approach the subject. Mr. Swain says that tactfulness of approach is essential.[17] The interviewee must be convinced of the interviewer's sincerity, qualifications, and research purpose. A misunderstanding can lead to the subject's refusal to be interviewed. This initial approach of the subject might include setting a time and place for the interview, or that might wait until after one or more preliminary meetings with him.

Before the date of the interview the subject should have some idea of the questions the interviewer would like answered. Out of common courtesy to the subject and for pragmatic reasons as well, it is a good idea to send the interviewee a list of points or questions which he might be considering before the interview takes place. He may have to rack his brains for a few days to recall specific details of events.

During the course of the interview, the subject should be put at ease as best as can be under the circumstances. He should be encouraged to say what he wishes, but at the same time the interviewer must keep in mind the purpose of the interview and not let the subject wander too far. This is probably the most difficult part of the oral history process. Sometimes it is necessary to prod the subject's memory, but he shouldn't be given leading questions. There are so many nuances in interviewing that interviewers are in favor of training programs. Owen Bombard of the Ford Motor Company Oral History Program was trained in the Columbia University Oral History Project.

A good general statement regarding the interviewer's responsibility is that the interviewer must resume responsibility for making the taped record reflect what took place during the interview (such as shutting off the tape-recorder during gaps in the conservation and recording that he has done so.)[18] Sometime in the process of making an oral history interview the interviewer should approach the subject about donating his own manuscript holdings to a research collection. Oftentimes this has been done before the interviewer has even thought of making an interview with him. The archivist, for instance, would probably have contacted his subject sometime in the past about the possibility of his placing his personal papers in the repository. A researcher using the papers at some later date may want to find out more from the person than his papers reveal. The archivist may then suggest that the researcher carry out the interview, or he may wish to do it himself.[19]

The interviewer should see that the taped interview is transcribed. Since this task is usually carried out by a clerk-typist, the interviewer would just supervise its typing and possibly the editing. A

great deal of controversy arises in the job of transcribing a tape. The typist should make the typescript reflect what is on the tape, but how far should she go in editing hesitations, run-on sentences, bad grammar, and other speech errors. The only answer to this question is that the interviewer or program director must make a policy decision for itself or consider each interview individually. There are three main views on editing. One is that it would be insulting to the interviewee to get the transcript in the rough form with his speech errors, so it should be edited. A second view is that if any editing is done, the interviewee should do it. The view of the purist is that no editing should be done. There are variations on the above views also.

When the interviewer has the tape in transcribed form he should consult with the interviewee about restrictions to be put on the use of the tape, about publishing rights, and about any other legal implications which may arise.

Differences of opinion arise among oral history interviewers on points such as what should be included in the interview. Helen White, speaking for the Oral History Society, says that autobiographical information on the interviewee is recorded as a part of every interview.[20] Vaughan Bornet, on the other hand, would include a typed biography or chronology from a standard reference source with the tape.[21] Miss White's comment on this practice is that the interviewee should be asked to comment on the authenticity of the information in the work cited.[22]

Helen White also feels that interviews are simpler and more productive when undertaken with one person and no audience.[23] (She also speaks of times when group interviews are helpful.) Donald Swain, however, thinks that working in teams is valuable. He feels that in so doing the burden of the entire interview will not fall on one person,

and also that the scope of the conversation can be enlarged by supplementary questions. One man can take notes while the other talks and still retain a conversational atmosphere.[24] They are both right; their needs are different.

There are numerous details of interviewing aside from the main steps which could be discussed, but as it is a matter of individual choice there is no need. The important thing to keep in mind is that a tape-recorded interview should be used for that purpose which it serves best--for getting the feel of a time past through the eyes of one who was there. This feel is what Donald Swain calls "emphasis" and "atmosphere." By "emphasis" he means an indication of relative importance of the event assigned by the interviewee. By "atmosphere" he means the social, political, economic, and personality interrelationships that explain why certain issues were important and others were not.[25]

Oral history is not as simple an answer as it looks. The interviewer must keep in mind that more than one recollection of the same event may complicate matters by presenting different versions. This clouds the issue rather than clearing the air.[26] And finally, Mr. Morrissey's statement that probably the most familiar of all the problems of oral history lies in the statement that some people know more than they tell and some people tell more than they know."[27]

FOOTNOTES

1. The scope of this paper does not include non-tape-recorded oral history.
2. Bornett, p.242.
3. Ibid, p.243.
4. Ibid, p.244.
5. Berison, p.71.
6. Edmunds, p.103.
7. Ibid.
8. Ibid, p.104.
9. Kane, pp.131-32.
10. Gilb, p.335.
11. Ibid, p.336.
12. Bornett, p.247.
13. Ibid.
14. Ibid.
15. Swain, p.65.
16. Morrissey, p.55.
17. Swain, p.67.
18. Colman, pp.80-81.
19. At the University of Washington Archives and Manuscripts Division researchers are given tapes to use in return for the gift of the taped interview.
20. White, p.25.
21. Bornett, p.248.
22. White, p.25.
23. Ibid, p.26.
24. Swain, p.66.
25. Ibid, p.68.
26. Morrissey, p.60.
27. Ibid.

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*Two sources I particularly wished to check are not available at the University of Oregon Library. They are the Journal of Oral History and Bulletin, No. 6, of the Oregon State Library, Oregon State Archives--Use and Storage of Magnetic Tape Sound Recordings as Public Records, by James D. Porter (Salem 1963).

LABOR HISTORY ARCHIVES

Judith C. Combs
Librarianship 507
October 28, 1969

Labor History Archives

Labor history is a long-neglected subject in the archives field. Labor record groups have been collected haphazardly by historical and educational institutions over the years, but it has only been in the past fifteen years or so that archivists have realized the importance of these records and have systematically sought them for research use. There are a substantial number of problems in collecting labor history archives as we shall see presently in this paper.

The archivist in search of labor records can expect to find them among government archives, among business records, in manuscript collections of individuals, including those of employers, labor leaders, political figures, and specialized scholars, and of course in labor union records.[1]

The difficulty in obtaining these records is often found on the labor union level. Since that is the richest source of the history of the labor movement, it is essential that these records be gathered and preserved for future use. One of the difficulties in obtaining national union records is the terminology and general unclearness of terms used by the archivist in his approach to labor administrators.[2] Labor officials who came up through the ranks or even the more sophisticated leaders may be entirely unfamiliar with the term "archives" and may even balk at discussing their "records" and "documents." (I would suggest that this problem is primarily one of the past since there has been much

[1]Footnotes follow text.

publicity on record saving in the past few years. Most unions, at least on the national level, have by this time been approached by an archivist representing an interested institution.) The difficulty that is impossible to overcome is the incomplete record-keeping practices of the past.[3] Those records that have been lost, mutilated or destroyed cannot be restored for use, but union officials can be educated in the importance of their retention in the future.

Archivists have found that the loss of labor union records is often related to the dynamic character of labor unions;[4] in the heat of battle there is little concern and less time for record keeping. Action taken by labor unions (especially on the local and district levels) is often immediate, and agreements can halt the action as quickly as it started. Even in times of leveling off, labor unions are not known for their record-keeping propensity.[5] Another kind of loss of union records which is related to the dynamic quality of unions is the verbal communication which was never recorded.[6] There was no "record" to begin with in this situation. It is probably true that in the history of labor unions some of the most important business was conducted on street corners, in the back rooms of pool halls and bars, and many other places unlikely to be equipped with a recording secretary.

These gaps left by missing records can be filled sometimes by district records which offer correspondence with national headquarters, regional headquarters, other districts, and the district "locals."[7] Another good source would be the private archives of union officials. These records may tend to be biased because of the official's point of view, but nevertheless are useful.[8] Another valuable primary source would be oral-history interviews.[9] These should include those who speak of labor as well as those who speak for labor (social workers,

newspapermen, economists, clergymen, lawyers, and mediators). Although oral-history interviews can be among the most valuable of records it must be remembered that memory can fade and distort facts over a period of years and a certain amount of misinterpretation of the actual happenings may result. Another source to fill gaps of missing records is the mass of documentation created by the Federal Government in its official response to unionism.[10] Mr. Stewart points out that labor's past sometimes is best reconstructed from nonlabor sources.[11]

Labor has made an attempt to salvage its own records in the past few years. Some large labor organizations are keeping their own archives rather than giving them over to the care of an institution. The American Federation of Labor has its archive in Washington, D.C., at its headquarters, with a large collection of its proceedings, minutes, reports and related materials, as well as papers of Samuel Gompers and other labor leaders.[12] In 1959 the AFL-CIO convention passed a general resolution calling for union cooperation with archivists and scholars in the preservation of important documents and in making them available under suitable conditions.[13]

The Society of American Archivists recognized the need to look into the nature and extent of records dealing with labor-management relations and in 1953 established a Labor Records Committee for that purpose.[14] Their course of action was to make known to potential users that labor history records exist and that they are accessible, and to encourage the preservation of such records for future use.

In their research of the labor history situation the Committee found that up to 1953, at least, labor history had been written very largely from published sources with little recourse to records due to the absence of any survey or guide to labor records.[15] The Committee

felt that the results of surveying would serve a threefold purpose: (1) to increase records consciousness in the labor movement, (2) to bring about the formation of more, and more truly, "historical collections" by unions, and (3) to probably bring more deposits of valuable but noncurrent union documentation to appropriate research institutions.[17]

The Society's survey of state archives and historical societies in the mid-1950s found that early documentation of state labor agencies has all but evaporated, and that more records are being retained in agency custody than are needed for current operations. The questionnaire was sent to 97 agencies, and a table of statistics was made from the 43 replies. In only 15 cases of these 43 was there any recognition of historical interest in the records saved.[18] The Society concluded that state archivists and their historical society counterparts should conduct local surveys to stir up interest in labor history.

The largest body of government records regarding labor is that in the National Archives and to some extent in the Federal Records Centers.[19] Their earliest holding in the field of labor is the Bureau of Labor records dating from 1884. By 1955 all federal labor-related agencies were represented in the National Archives or Federal Records Centers.

To particularize the collecting of labor history archives we shall take a closer look at the most important collection of labor archives in the United States today, those of Wayne State University. The Labor History Archives were established on a formal basis in 1959 under the leadership of Philip P. Mason, who was engaged as University Archivist in 1958 when the Board of Governors announced an official policy regarding the retirement and retention of University records and documents.[20] The reasons for the establishment of a labor history archives at Wayne State University are several.[21] First is the University's location in

Detroit, an industrial area, and the home of the automobile industry. Several of labor's leaders were educated at the University including Roy, Victor and Walter Ruether, and Leonard Woodcock. In the 1930s the University inaugurated a special labor-education program which in 1946 was reorganized as the Institute of Labor and Industrial Relations. The practical use of labor history records for the Institute is quite evident. Finally, the Director of Libraries and other members of the faculty were concerned that their casual collecting policy in labor history was not good enough. They feared that documents were being lost or destroyed and that union officials were unaware of the historical value of their surviving records. Knowing that unions do not have facilities to preserve and service their files for research use the University began the groundwork in establishing a formal labor history archives.

In 1958 the University Archivist began to study present practices of unions regarding their official records and to survey the collecting programs of other universities and research collections.[22] It was also necessary for him to determine the budgetary and staff needs of a formal archives program. He was assisted in this preliminary study by Newman Jeffrey, a historian and former union official, who was concerned for the preservation of historical union records. Mr. Jeffrey had conducted a survey of the programs of research collections in Michigan and other states prior to his involvement with Mr. Mason. His findings were that no institution had a systematic program to collect and preserve historical records of the automobile industry and other industries, and that many collections had been discarded out of lack of space and ignorance of their value to historians.[23]

Thus, in 1959, the University established a formal program to collect and preserve records relating to the union movement, with particular emphasis upon industrial unions. The United Auto Workers' records were given priority because of their importance and the proximity of union activity to the University.[24] (Not to be disregarded is the fact that the UAW has made substantial gifts for operational expenses.[25]) The Collection includes peripheral collections regarding social, political, and religious movements. In 1966 the collection was estimated at five million pieces of newspapers, files and records of locals, private correspondence, etc., connected with the American labor movement and related movements for political and social reform on 1410 linear feet of shelves.[26]

The Labor History Archives were originally housed with the University Archives proper. In 1966 the UAW pledged $1.2 million for an archives building.[27] (Whether or not this building has been built and is operational is not known to this writer.) The collection is open to use of qualified persons with a legitimate scholarly interest in research. The Archivist's records appraisal practices and methods of arrangement and description are subjects for future papers.

Wayne State's first acquisition of documents related to labor history was the collection of Joseph Brown, a sheet metal worker and reporter for the Federated Press during the 1930s.[28] Brown gathered material for a book he hoped to write about the rise of labor in the automobile industry, especially during the years, 1933-1941. His papers containing union newspapers, strike leaflets, correspondence with union officials and twenty-one indexed scrapbooks were purchased by the Library in 1951 as a memorial to Edward W. McFarland, a faculty member who achieved recognition in labor circles.[29]

Major acquisitions of the Archives include records of the Industrial Workers of the World, complete files of some disbanded locals, and personal files of individuals such as Homer Martin, first President of the UAW, and John Edelman, called "dean of the labor lobbyists."[30] The Archives has files of the Wayne County AFL-CIO, and in 1963 the Michigan State AFL-CIO made Wayne State University its official archive. (For an extensive list of holdings see the National Union Catalog of Manuscript Collections.)

The most important collection of labor history in the Archives is that of the United Auto Workers. At their Eighteenth Constitutional Convention in May 1962, UAW delegates passed a resolution designating the Labor History Archives "as the official depository of UAW records of historical significance" and directed "each union member and local union" to cooperate with the archives program.[31] This is the kind of action which must be taken by the union in order to facilitate archivists in orderly collection of union records.

A particularly interesting acquisition of the Archives is the collection of transcripts of interviews with over 140 persons who participated in the formation and early development of the UAW.[32] This program, begun in 1958, was co-sponsored by the Institute of Labor and Industrial Relations of Wayne State University and the University of Michigan. By 1964 more than one hundred transcripts totaling over 5,000 pages had been deposited in the Archives. The collection comprises an important source of labor history and supplements the published and written records in the Archives. A number of collections were obtained as a by-product of the program.

Mr. Mason credits many agencies, individuals and institutions as being helpful in their collecting program, from the University of Michigan

Historical Collections which turned over two valuable collections to the Archives, to the rank-and-file members who have collected bits of union history over the years. Since 1960 the Archives has sponsored a number of meetings to publicize its program and to obtain information on the location of significant collections.[33] The first program of their 1963-64 series, Episodes in Labor History, was entitled "A Night With The Wobblies." The participants as well as the audience were helpful in giving leads to labor materials and the names and whereabouts of prospective donors.[34]

The Wayne State University Archives have had many advantages in realizing their desire for an extensive labor history collection, primarily the generous help of the UAW without which they would have undoubtedly found it more difficult to operate. Most institutions do not have such rich sources for labor history in their "back yards," nor do they have the staff and facilities to handle such a specialized collection. Wayne State University is to be commended for its foresight in attempting to save these most valuable records, and Mr. Mason for his able administration of the program.

FOOTNOTES

1. Lewinson, Paul, "The Archives of Labor," AA 17 (Jan 1954) p. 19.

2. Stewart, William J., "The Sources of Labor History: Problems and Promise," AA 27 (Jan 1964) p. 96.

3. Ibid, p. 97.

4. Ibid, p. 96.

5. Ibid, p. 96.

6. Ibid, p. 99.

7. Ibid, p. 98.

8. Ibid, p. 99.

9. Ibid, p. 99-100.

10. Ibid, p. 101.

11. Ibid, p. 102.

12. Lewinson, AA 17, p. 22.

13. Lewinson, Paul and Morris Rieger, "Labor Union Records in the United States," AA 25 (Jan 1962) p. 41. For text of this resolution see LH I: 98-99.

14. Lewinson, AA 17, p. 19.

15. Lewinson and Rieger, AA 25, p. 41.

16. Lewinson, Paul, "State Labor Agencies: Where Are Their Records?" AA 19 (Jan 1956) pp. 48-50.

17. Lewinson and Rieger, AA 25, p. 45.

18. Lewinson, AA 19, p. 46.

19. Lewinson, AA 17, p. 20.

20. Hanawalt, Leslie L., A Place of Light; The History of Wayne State University, p. 268.

21. Mason, Philip P., "Labor History Archives at Wayne State University," LH 5 (Jan 1964) pp. 67-68.

22. Ibid, p. 68.

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23. Ibid, p. 68.

24. Ibid, p. 68.

25. Hanawalt, p. 268.

26. Ibid, p. 268.

27. Ibid, p. 268.

28. Mason, p. 70.

29. Hanawalt, p. 476.

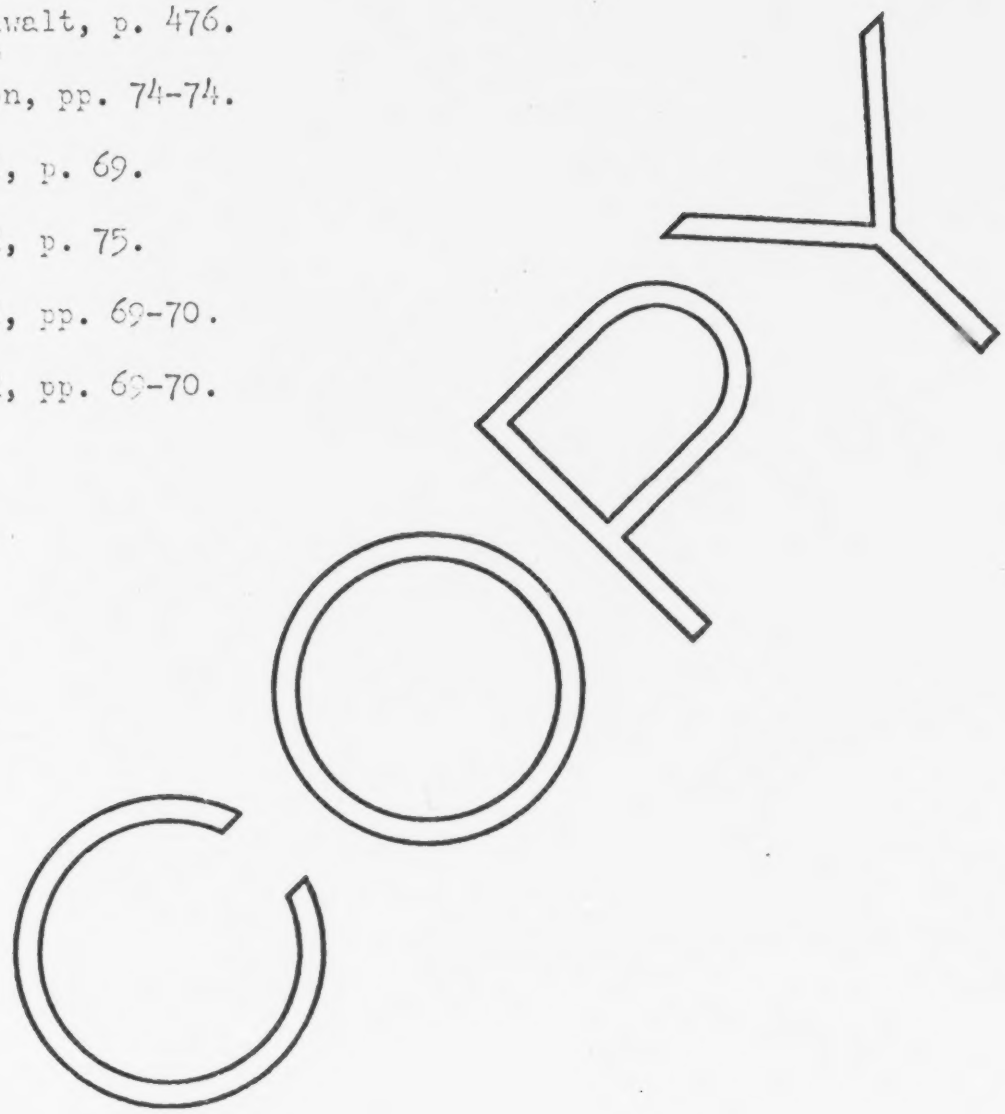
30. Mason, pp. 74-74.

31. Ibid, p. 69.

32. Ibid, p. 75.

33. Ibid, pp. 69-70.

34. Ibid, pp. 69-70.



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ARRANGEMENT OF MANUSCRIPTS

by

Elizabeth Mitchelmore

Archives Seminar
Mr. Duniway
December 4, 1969

It is necessary for manuscripts and archives to be arranged in order to be used. Without arrangement it would be very diffi- for a researcher or an archivist to find the particular document or series of records which he needs. There are certain principles of arrangement which can apply which can apply to both archives and manuscripts, and various ideas of how manuscripts should be arranged.

T.R. Schellenberg, in The Management Of Archives, states that the object of arrangement is for records to be able to be found and properly described.[1] Records come from many different sources and are received in different degrees of disarrangement. Before they can be described they have to be arranged within their groups. The groups also have to arranged on the shelves in such a manner that they can be found again if they are needed. Without some scheme of arrangement for the shelves a small record group in a large archives might become lost forever even though it is still in the building.

According to Schellenberg the first of the essential steps in archival arrangement is for the Archivist to "analyze the structure and functions of the body that produced the records with which he is working."[2] He needs to understand the organization and workings

of the agency in order to know how their records were created. Knowing how the records were created will better enable him to see how they should be arranged.

The second essential step is for the archivist to "analyze a body of records as a whole, before proceeding to arrange any of its parts."[3] He needs to understand the whole collection before he starts analyzing any of its parts. If he starts breaking down the collection into parts too soon he may miss some essential clue about the collection that could be lost in rearrangement.

The third step in arrangement is that "Whenever feasible, an archivist should identify or establish series within an archival group or manuscript collection."[4] This makes the collection easier to handle and helps make location of a particular item faster.

In order to facilitate handling of material, "When dealing with a large body of material, an archivist should first plan the arrangement of records on paper before proceeding to the physical task of placing them in order and packing and shelving them."[5] This would make it possible to avoid multiple handling of the records which might result from trying to arrange records before the archivist had decided upon the final arrangement.

The final essential step given by Schellenberg is that "In arranging his material, an archivist should follow principles of arrangement that are generally recognized as valid in his profession."[6] In other words, he should follow the principles of provenance and respect des fonds.

The above steps are basic enough that they can be applied to

both archives and manuscript collections. I am not going to deal further with archives because my research was in the area of manuscripts. I will now attempt to cover some of the different theories on manuscript arrangement.

Schellenberg divides manuscript collections into three groups: organic collections, artificial collections, and collections of miscellany.[7] He defines organic collections as "material created by a particular person, or by a particular religious, educational, business, or other corporate body."[8] These collections are very similar to archives and may be treated like archives in some cases. If they have an organic arrangement they should probably be left alone. However, if they have become disarranged some systems of arrangement will have to be applied.

Artificial collections are defined as "an assortment of papers and volumes that bear no kinship to one another, are without continuity, and have no common origin."[9] They are "papers that are brought together after the actions to which they relate have occurred, not concurrently, and that are derived from many sources, not a single source."[10] Since the papers come from different sources and have no relationship to each other they have to be arranged according to some artificial system.

Collections of miscellany are "composed of single record items or small groups of record items, acquired from various sources, that are formed into a collection in a manuscript repository."[11] Collections of miscellany can be made up of either loose material or bound

volumes.

According to Schellenberg, as a general rule the archivist "should maintain each collection as a separate and integral unit."[12] He says that most of the collections of manuscripts that come to a repository today are from a single source and should be kept together. He feels that older collections which might have records from various sources should still be kept together. Finding aids can be used to help locate the material rather than breaking up the collection to make new collections.[13]

The second rule is that "When dealing with both manuscript collections and archival groups, an archivisit should place the two types of material in separate parts of the stacks, for the intermingling of private and public papers is inexcusable."[14] Schellenberg gives no explanation of this rule at all, but he seems to mean that a building which houses both archives and manuscript collections should keep them in different parts of the building. He does not seem to be dealing with the papers of a public official which might contain both archives and private papers.

Schellenberg's third rule is that "an archivist should normally place collections in the stacks in the order in which they are accessioned."[15] He feels that this is the best method for storing collections and being able to find them. He says that collections should not be arranged on the shelves alphabetically by their titles, and should be grouped into classes only in exceptional circumstances.[16]

The Manuscript Division of the Library of Congress believes that "manuscripts and manuscript collections should be considered

first as to preservation, second as to use."[17] The condition of a manuscript determines how much it can be used. If it is in poor condition microfilming or photocopying can at least make its contents available. The Division believes that any legitimate investigation should be allowed as long as the condition of the manuscripts does not prohibit it. In order to protect the documents it feels that "consultation of manuscripts should be allowed only in the presence and under the constant observation of the archivist or his assistants."[18] No archives or library wants its material to be damaged, but the importance of much of the material in the Library of Congress may cause it to be especially careful. The Division requires the investigator to make a written application for the documents he wishes to see, and if the manuscripts are restricted his notes will be inspected before he is allowed to leave.[19]

The Library of Congress divides manuscripts into two classes — "illuminated manuscripts and correspondence or other pen-created papers of official and private daily life."[20] Illuminated manuscripts are considered to be books and the manual does not talk about their arrangement. Pen-created papers are divided into official and personal classes.

If personal papers of an individual come into the hands of the archivist either untouched or only slightly disarranged, the "existing arrangement should be studied carefully before the necessary archival rearrangement is begun."[21] The trained archivist should be the first one to handle the papers because he needs to study and analyze them. By studying the original arrangement he can find

clues to help identify the misplaced and undated items in the collection.[22]

In order to save time in arranging a large disorderly mass of papers, they should first be divided into decades, then into years, quarters of years, months, days of months by tens, and then into separate days. According to the Library of Congress this method is twice as fast as any other in bringing order to a collection of papers.[23]

The arrangement of the collections or groups on the shelves "is entirely dependent upon the geography of the storage space at disposal and the frequency of consultation of the group."[24] Because most collections are housed in buildings not designed for them arrangement must be worked out so that the collections that get the most use are the easiest to reach.

In the Library of Congress the collections of papers are arranged on a chronologic-geographic basis.

> It follows the sequence of events from the discovery of the Western Hemisphere, through exploration and settlement, as naturally developed: First, the West Indies, Spanish America, Mexico, Central and South America general, then by countries in their geographical divisions and strictly chronological within these divisions; then North America, the grouping therein being the British, French, Spanish, and other colonies.[25]

The arrangement then covers the period up to the Revolution, the Revolution, the period under the Articles of Confederation, and the United States.[26]

Within the various collections the Library of Congress believes in the simplest arrangement possible for the individual items. The

ease and certainty in finding an item is the basis of judgment for a system of arrangement.[27] They feel that the experience of archivists has proved that the only satisfactory arrangement is the strict chronological one.[28]

> It presents a complete picture of the daily course of events as the life of the past was lived: it satisfies the instincts of the investigator by placing the records before him in unbroken sequence of time; it reduces the chances of misplacement of the single manuscript to the minimum, largely obviates unnecessary handling of the papers, throws all the undated material into one place and eases the mind of the historian, as no other grouping can, by assuring him that he has not overlooked anything through failure to consider all of the possible heads under which papers might be grouped in subjective or other classifications.[29]

A third view of manuscript arrangement has been presented by Richard Berner, the Curator of Manuscripts at the University of Washington. He feels that "the prospective user of manuscripts should receive primary attention in the arrangement of manuscripts."[30] Arrangement according to provenance or chronology has been done for the convenience of the archivist or the repository, and not for the convenience of the user.

Mr. Berner says that there are three assumptions on which the rule of provenance rests:

> (1) that the main purpose of the user is biographical;
> (2) that the order given a collection by its creators is the best for this purpose; and
> (3) that the 'given order' reflects in some significant way the personality of the creator(s).[31]

He criticizes this arrangement because the researcher often has more limited objectives than biographical, and the order given to the documents by the creator is frequently not the best order. Part of

the reason that provenance is used is that the mass and complexity of many modern manuscript groups overwhelms the repository and the rule of provenance is reverted to as the easiest thing to do. The archival quality of many manuscript groups has had a healthy effect in weakening the reverence for the single piece.[32]

In dealing with chronological arrangement, Mr. Berner is primarily concerned with the arrangement of series of incoming and outgoing letters. His objections to the system of strict chronology and his suggestions for change are both concerned with letter series. Mr. Berner's objections to a chronological arrangement for incoming and outgoing letter series are as follows:

> (1) Only one approach to a collection is provided for the researcher.
> (2) There is no systematic and objective method for revealing names of correspondents.
> (3) The letters of those authors of incoming letters who are noted are scattered throughout the series, and there is no guarantee that all letters of a person will be retrieved when needed.
> (4) The fact that the letters of some authors of incoming letters are not noted may mislead the researcher by implying that letters of a particular person are not in the collection.
> (5) The collection as a whole is impoverished in the midst of its riches, for there is no systematic way to compensate for not being informed that the papers of some significant person are in the collection.[33]

In order to correct the flaws in a strict chronological system Mr. Berner suggests that outgoing letters covering a long span of time should be arranged chronologically, and incoming letters should always be arranged alphabetically according to the writer. If there is only a small group of outgoing letters or one that only spans a brief period, then it should be arranged alphabetically by the name of the addressee.[34] This system provides more than one approach to

a collection and may make it easier for the user to find what he is looking for.

In conclusion, I am inclined to favor Mr. Berner's system of arrangement for letter series. Letter series may be the most important parts of a manuscript collection, and this arrangement provides more than one approach to the collection. However, I do not believe that a repository with a collection of manuscripts as large as that of the Library of Congress could change systems at this point. There would be too much work to be redone. The only answer for them is indexes to the collections similar to the ones that have been done for the Presidential Papers.

Footnotes

1. T.R. Schellenberg, The Management of Archives, (New York: Colubia University Press, 1965), p. 80.
2. Ibid., p. 86.
3. Ibid., p. 87.
4. Ibid., p. 88.
5. Ibid.
6. Ibid., p. 89.
7. Ibid., p. 173.
8. Ibid., p. 174.
9. Ibid.
10. Ibid.
11. Ibid.
12. Ibid., p. 177.
13. Ibid., pp. 177-8.
14. Ibid., p. 178.
15. Ibid.
16. Ibid., p. 179.
17. J.C. Fitzpatrick, Notes On the Care, Cataloguing, Calendaring and Arranging of Manuscripts, Third Edition, (Washington: U.S. Government Printing Office, 1934), p. 1.
18. Ibid.
19. Ibid., pp. 1-2.
20. Ibid., p. 3.
21. Ibid., p. 5.
22. Ibid.
23. Ibid., p. 6.
24. Ibid., p. 8.
25. Ibid., p. 8.
26. Ibid., p. 9.
27. Ibid., p. 8.
28. Ibid., p. 10.
29. Ibid.
30. Richard C. Berner, "The Arrangement and Description of Manuscripts," American Archivist, XXIII (October, 1960), p. 395.
31. Ibid.
32. Ibid., p. 396.
33. Ibid., p. 397.
34. Ibid., pp. 398-399.

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The Manuscript Collections of the State Historical Society of Wisconsin

By

Charles Palm

Seminar in Archives: Mr. Duniway

December 4, 1969

Few state historical societies can match the energy and enthusiasm which the State Historical Society of Wisconsin has expended on the collection and arrangement of manuscripts. Directly responsible for this fine record are the Division of Archives and Manuscripts, which handles both the state archival and the Society's manuscript programs, and the Society's Field Service Department, which does most of the actual collecting of manuscripts. Over the years, however, the one continuous factor behind the success of the collection of manuscripts has been the presence in one place of the State Capitol, the state archival agency, the University of Wisconsin, and the State Historical Society. The interaction and mutual support among these institutions seem to have geometric effects upon the enthusiasm for manuscript

preservation at Madison. This is apparent in the special collecting projects, involving the Mass Communications History Center and Area Research Centers, as well as in the basic collecting program of the Division's Manuscript Section.

The basic manuscript collection had its beginnings at mid-Nineteenth Century. From 1850 to 1891, when he died, Lyman C. Draper gathered manuscripts relating to the early history of the American West. Since then the Draper Collection, comprised of five hundred volumes, has been extensively used by historians as eminent as Frederick Jackson Turner.[1*] By 1906, the Society's holdings had increased to include 75,000 pieces.[2] At about this same time, another man, John R. Commons, an eminent economist at the University of Wisconsin, along with his fellow colleagues began to collect material relating to the history of labor and socialism in the United States. They were able to acquire the correspondence of Henry Demarest Lloyd and the archives of the Socialist Labor Party, along with the papers of Commons himself.[3] To the Draper and Commons Collection, Reuben Gold Thwaites in the early years of this century rounded out the collection by adding a substantial body of material relating to the history of Wisconsin.[4]

Presently, the Society's total manuscript collection contains 11,064,200 unbound items and 14,034 bound volumes.[5] The increase represents additions relating to the earlier collections of Draper, Commons, and Thwaites, as well as

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* The footnotes are located at the end of the paper.

collections relating to new subjects. As before, material about Wisconsin history is never overlooked. New papers in the field of labor history have added substantially to the John R. Commons Collection. Some of them include the archives of the American Federation of Labor, the AFL-CIO Committee on Political Education, and the Textile Workers Union of America and the papers of Adolf Germer and Raymon Robins.[6]

Some of the more important newer fields represented in the basic collection are race relations, business history, urban history, and agriculture.[7] The outstanding collections supporting these fields include the papers of the Congress for Racial Equality; the economist, Richard T. Ely; the Americans for a Democratic Action; and the agriculturalist and industrialist, Cyrus H. McCormick.[8]

The Divison of Archives and Manuscripts handles the manuscripts separately from the official state archives, although the official state papers of the governors and copies of the archives from federal and other state governments are kept in the manuscript section.[9] Arrangement of the manuscripts on the shelves is by a simple consecutive number system, a replacement of the older geographic and alphabetical arrangement of a few years ago. According to the State Archivist, F. Gerald Ham, the change resulted in a more efficient utilization of stack space, a greater ease in cataloging additions to existing collections, and

a more efficient way of retrieving collections.[10] Within collections themselves, arrangement is either chronological, topical, or alphabetical; however, attempts are made to preserve the original arrangement of the donor, if there is one. Regular Hollinger boxes are used in storing, though at one time all manuscripts at Wisconsin were shelved horizontally in boxes that could accommodate the purpose.[11]

Bibliographical access to the manuscript collection has been provided for by Alice E. Smith's Guide to the Manuscripts of the State Historical Society of Wisconsic, 1944. Two published supplements have brought the guide up-to-date, as of 1966. Accessions after that have been regularly noted in the Proceedings of the Society, which are published in the Wisconsin Magazine of History. Unpublished means of controlling the collection are by a card catalog with collection cards, donor cards, and subject cards included, and by inventories.[12]

Aside from the operations supporting the basic manuscript collection, the Division of Archives and Manuscripts is involved in other special projects--the collection of material relating to mass communications, the theatre research project, and the manuscript collecting activities of the statewide network of Area Research Centers. Within the Division responsibility for the mass communications collection is divided between the Manuscript Section, which processes the materials, and the Mass Communications History Center,

which controls the collection.[13] The Center also shares responsibility for the theatre research project, along with the Wisconsin Center for Theatre Research, a division of the University's Speech Department. The latter does most of the actual collecting, while the former maintains control over the material.[14] The project involving the Area Research Centers is supervised mainly by the State Archivist, the head of the entire Division.[15]

The collection of materials relating to mass communications began in 1955 with H. V. Kaltenborn's donation of his papers, which included 225 boxes and 110 volumes of manuscripts.[16] Since then the Mass Communications History Center has added many more collections dealing with every aspect of the subject--journalism, radio, television, public relations, and advertising.[17] The types of material collected range from personal manuscripts and corporation archives to tape-recorded interviews and disc and tape recordings of radio and TV broadcasts.[18] Some of the more outstanding personal collections are those of journalists Marquis Childs, John Gunther, Joseph C. Harsch, John M. Hightower, Louis Lochner, and H. V. Kaltenborn; those of radio and television commentators Charles C. Collingwood, Cecil Brown, Alex Dreier, Edward P. Morgan, and Robert McCormick; and that of public relations councelor, Frederick Benham. Represented in the collection of corporate archives are the National Broadcasting Company, the Associated Press, the Public Relations

Society of America, the National Association of Education Broadcasters, and National Educational Television.[19]

The manuscript resources sought after for the theatre research project are the "personal and professional records of people eminent in the theatre and on the historical files of theatre organizations."[20] The areas of the theatre which the collection presently represents are professional and amateur drama, dramatic and documentary films, opera, musical stage, and vaudeville. All kinds of theatrical materials are collected, such as scripts, musical scores, promptbooks, correspondence, diaries, scrapebooks, records of producing organizations, business and legal files, advertising materials, films, photographs, and blueprints and plans of stage architecture.[21]

The arrangement of the material is basically archival in nature. Collections are physically grouped and identified by the names of the individuals or organizations to which they relate. Within each collection, all material, scripts, correspondence, notes, playbills, etc. are filed with the individual production (play, film, etc.) to which they relate. If a person has written or produced in more that one art form, the individual productions of each art form are grouped together. With collections which are already prearranged by the donor, that arrangement is maintained.[22]

The Theatre Research Collection contains many remarkable collections of famous producers, playwrights, and

directors. Some of the producers represented are Harry and Roy Aitken; the Playwrights Company, whose members included S. N. Behrman and Robert E. Sherwood; Kermit Bloomgarden; David Merrick; Richard Myers; Herman Shumlin; and Dwight Deere Wiman. The Aitken Papers, which span the years 1907 to 1940 and several film studios, are especially valuable for what they reveal about the early history of motion pictures. Among the plays represented in the papers of David Merrick, one of Broadway's most successful producers, are "Fanny," "Look Back in Anger," "The Matchmaker," and "Romanoff and Juliet." An especially valuable feature of the Herman Shumlin Papers is the large body of general correspondence from such figures as George Bernard Shaw, William Saroyan, and Bette Davis.[23]

The papers of the playwrights and directors are, perhaps, even more interesting. Here you can find the papers of such persons as Moss Hart, George Kaufman, Howard Lindsay and Russel Crouse, Walter and Jean Kerr, Frances Goodrich and Albert Hackett, Dore Schary, and Gore Vidal. The Moss Hart Papers not only include the materials he used in directing such Broadway productions as "My Fair Lady," "You Can't Take it With You," and "The Man Who Came to Dinner," and motion pictures as "The Eddie Duchin Story," but also autobiographical material, including a diary and an autobiography of his early life, which are most revealing. Like the producers' papers, those of the directors and playwrights

contain interesting correspondence from famous persons both within and from without the theatrical world.[24]

In addition to the Mass Communications Project and Theatre Research Project, the Division of Archives and Manuscripts is engaged in a third special manuscript program. This involves the network of Area Research Centers which have been set up statewide at various branches of the University system for the purpose of collecting and maintaining college and local government archives and manuscripts pertaining to local history. Control over and legal possession of the manuscripts is maintained by the Society. The Division not only processes all records but prepares a catalog for each center. The Division also supervises the loaning system whereby one center may borrow manuscripts from the Society or from another center. The loaned manuscripts are transported by the Society's own vehicles.[25]

The total holdings of the eight centers as of 1968 was 557 manuscript collections and 1,733 series of county and local archives.[26] All eight have strong collections relating to the collegesat which they are located. The Eau Claire and LaCrosse Centers have exceptional lumber company records dating back to mid-Nineteenth Century. The River Falls Center has strong collections relating to electrical power in western Wisconsin, local church history, and reminiscent accounts of late Nineteenth Century town life.

The Milwaukee Center is, perhaps, the richest of all, holding the records of one of the first all-girls colleges (Downer College), financial records of several Milwaukee businesses, and the papers of a Wisconsin Supreme Court Judge.[27]

The value of all these collections at the Area Research Centers is reflected in the extensive use made of them. The 1,998 daily registrations at the centers represents 30% of the registrations made for the use of the Society's archival and manuscript holdings for one year.[28] Most of the use, furthermore, is a worthwhile educational use, involving the writing of research papers and theses by undergraduate and graduate students on the campuses where the centers are located.[29] As the Society has taken advantage of the University system in collecting local archives and manuscripts, the University system has taken advantage of the Area Research Centers by using their resources for graduate education programs.

The manuscript collection of the Society will continue to grow because of the intellectual support it gets from the University. Their working together has already helped to produce one of the richest manuscript collections in the country. Mutual cooperation also made possible the Theatre Research Project and the Area Research Centers. In return the University gets a wealth of resources necessary for research and publication.

FOOTNOTES

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6. Josephine L. Harper. Guide to the Manuscripts of the State Historical Society of Wisconsin (second supplement; Madison: State Historical Society of Wisconsin, 1966), 225-275 (index).

7. Ernst Posner. American State Archives (Chicago: University of Chicago Press, 1964), 299.

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14. Barbara J. Kaiser, "Resources in the Wisconsin Center for Theatre Research," American Archivist, XXX (1967), 483.

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26. State Historical Society of Wisconsin, Annual Report, Division of Archives and Manuscripts, 1967-68, op. cit., 11.

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SPECIAL MATERIALS:

STILL PICTURE COLLECTIONS

Carol S. Pratt

Archives

3 Dec. 1969

PRESERVATION.

Pictures supply a wealth of detailed information in a manner which written records cannot always duplicate, and libraries, archives and historical societies properly include iconographic materials together with their general resources. Preservation, however, implies much more than accessioning and shelving, for like written and official records, the relevance of pictures reaches beyond local interest, and their nature requires full documentaion and indexing. Schellenberg has considered iconographic materials as bing of three main categories: photographs, original works and hand compositions (e.g. sketches), and press productions(e.g. maps, engravings, etc.).[1] Photographs are the most reliable source, followed closely by press or printed materials, with maps occupying a separate and distinct importance of their own and not admitting direct comparison with other pictorial records. Each type of document offers its own interpretation of the subject in question, lending itself to research in any of several ways, depending upon the topic and the researcher.

For the purposes of this paper, discussion will be limited to still photographs as archives, with the understanding that many of the technical processes will apply to other pictorial documents as well.

Selection and disposal criteria are relatively undefined in general, and I suspect that appraisal policies in some cases evolve not by design but through necessity. Not all photographs are archives, and eventually an evaluation of the differences will

have to be made. Joe D. Thomas, in his article "Photographic archives", divided pictures into three classes: those which are mere records, pictures having definite news value, and pictures which are works of art.[2] The archivist must select from each of these on the basis of permanent and historic value, exercising therein much depth of vision, together with concern for both the documentation of the agency involved and consideration of the the cost of preservation. Hermine Baumhofer has suggested that discards may be useful in exchange programs, working always toward completeness and balance in the collection.[3]

Photographs are a perishable medium, and if improperly stored, prints and negatives are subject to severe deterioration as well as wear. A number of good articles describing the specific technical processes of storing negatives and rare prints are cited in the bibliography. It should be understood that negatives are the most valuable record and are usually irreplaceable. Duplicate negatives made from a positive print are seldom as satisfactory as the original film. All authorities recommend that the negative itself be kept out of general use and available only to the archivist and laboratory personnel. Similarly, unique prints should be considered rare and given as much protection as possible. Photographic reproduction is usually recommended, keeping the duplicate negative as if it were the original, and using the duplicate print for the reference files. Schellenberg suggests storing all unique and original prints in archival boxes, relying on indexing and other finding aids to locate wanted materials.[4]

During the period 1890-1930 nitro-cellulose film was the

popular photographic medium, but we have now learned that nitrate film is impossible to preserve. Sooner or later it will deteriorate beyond use, eventually disintegrating into a yellow or brown dust, which is both highly flammable and extremely explosive. The deterioration process causes the emission of a toxic gas, so that special storage facilities are advisable, i.e. vented film cans or individual envelopes for any collections, and special vaults with adequate outside ventilation are essential for large collections.[5] The danger of fire is very great and appropriate measures should be taken, viz. blow-out panels, gas escape hatches, alarms and sprinkler systems.[5] Deterioration can be retarded by careful control of humidity and temperature, but an active copy program is recommended, in order to preserve as much of the image as possible.[6]

Cellulose acetate film (Safety film) is easier to store and far safer, although still a fragile and flammable substance. Deterioration is not a significant problem, provided the negative is properly protected from corrosive agents, including light, heat, dust, and fingerprints. Individual storage in acid-free envelopes of kraft-paper, glassene, or cellulose acetate[7], ~~or plastic~~ is the only acceptable method and permits the necessary handling without damage, although glassene is not itself permanent and must be replaced after a time. Envelopes made specifically for this purpose have a side seam and are dustfree. Center seams will eventually damage the emulsion, unless care is taken to place the acetate (shiny side) to the seam. Ordinary white envelopes should not be used under any circumstances, since they will cause of discoloration on the emulsion. Anything putting pressure on the

negative, such as rubber bands or paper clips, should be avoided. Film envelopes are filed loosely, never packed, in a box of convenient size. Baumhofer recommends using a uniform size of envelope, regardless of the negative size,[8] but Schellenberg suggests that negatives may be filed in groups according to size.[9] Archival boxes can be used for filing, but Vanderbilt considers ordinary card files to be satisfactory, since they are light-weight, portable and easy to work from.[10] The University of Oregon Archives keeps individually encased negatives in archival boxes, loosely filed, and shelved where they are readily accessible when needed, a solution which satisfies all requirements.

Glass negatives and glass lantern slides are subject to the same problems as safety film, in addition to some others. They are very heavy and require reinforced shelving, if the collection is a large one. If stored upright and without proper support, the plates will warp. The best solution is to keep them in special light proof boxes, equipped with slots to support the full weight of each picture. Although flat storage is permitted, it seems likely that risk of breakage is increased and that storage is less efficient. To reduce handling each box of slides or negatives should be indexed or inventoried. The University of Oregon Archives has an extensive collection of such slides, about 5000 in number, arranged topically, for which an index is in preliminary stages. A unique collection of slides taken by Mrs. Gertrude Bass Warner between 1908 and 1920 is also in the care of the Archives. These depict Chinese temples and art objects in Asia and art treasures in the Murray Warner Collection of Oriental Art , donated to the University by Mrs. Warner.

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Prints themselves are generally used for the reference file, in order to protect the negative from being consulted. Although some sources permit the inclusion of rare photographs, provided the files are not heavily used, both Schellenberg and Vanderbilt recommend that such photos be copied, and the original preserved in proper storage. Under any circumstances, when a unique photograph begins to show wear, it must be copied and the duplicate used in its place. Special protection is necessary for fragile items, valuable prints, rare photographs, and original drawings. Separate storage, and perhaps mounting, with overlays of acid-free tissue or cellulose acetate will protect the surface from wear.

For large collections under heavy use, uniform mounting on medium-weight, low-acid cards, although expensive, is the best insurance against wear and permits easy storage in uniform boxes. Kodak dry-mount is the best medium for amateurs to use in mounting pictures, requiring only a large heat-press, a tack-iron, and a little practice. Other systems of mounting (i.e. "wet mounting") are for skilled hands.[11] Staples, album corners, tape of any kind, paste or glue, rubber cement and rubber bands have no place in a photo print collection.

If, as at the University of Oregon, mounting is not done, a small collection of pictures can be stored in low-acid folders or envelopes in a vertical file[12] or in archival boxes. Valuable prints, as mentioned previously, should have a folder or envelope of their own. Oversize pictures of any kind should be kept in map drawers or in flat non-acid boxes. Folders to fit these boxes are desirable, but not essential.[13] The University of Oregon

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Archives uses a variation of these storage techniques. The collection of prints is kept in a vertical file, stored in low-acid folders, and is arranged by subject. Prints collected by the library before the archives were established are mounted, but new accessions are added to the collection without mounts.

CONTROL.

Control of a picture file can be attained in one of two ways: to maintain the prints in order of their fonds, according to provenance, or to arrange them according to subject. The former system is particularly suited to pictorial records of governmental bodies, since these are usually received in series, and the system helps to document the history of the agency. Often, however, the series of pictures may have two or more overlapping fonds, so that they must be placed within a larger, more inclusive record group.[14] Alternatively, a decision must be made to assign such problem series to a specific agency, regardless of circumstances, initiating a system of cross-references. The negatives, in any case, are usually maintained in their original sequence, so that strict provenance in preserved. Extensive indexing is essential, e.g. files of the Signal Corps Record Group in the National Archives have no less than fifty indexes.[15]

The second arrangement of archival photographs maintains provenance in the negative file, keeping the original number system if there was one. The negative or unique print is considered the archival copy,[16] and positive prints or duplicates are arranged for reference in the most advantageous order. Schellenberg recom-

mends filing pictures according to persons, places and topics,[17] so that the entire reference file is self-indexing. Subarrangement by number within each folder or subject heading controls the file.[18] Each print must be captioned and keyed to the negative files or boxes of unique prints. The negative file, arranged by provenance, will complement, but not duplicate the arrangement of the picture file, and very large collections may also use a judiciously selected reference print to represent an entire series of negatives.

Accessioning of prints and negatives is somewhat different from the usual reoutine for documents. Each picture is assigned a number and a caption is written for it, recording all information essential to the meaning of the picture. Camille P. Luecke, in her article describing the library procedures in the photographic library of the International Press Service, described the following system, which Schellenberg also recommends:[19]

1. Who: all pertinant information
2. What: the occasion
3. Why: the circumstances
4. When: Date of picture, or approximate date
5. Where: location of subject
6. How: Method, as of manufacturing processes
7. Source: Photographer and/or other source
8. Negative information: original or copy

Captions should be as brief as possible, without omitting any pertinant details, and as specific and uniform as possible. A caption plate or sticker is usually attached to the back of the print or mount, and may also be placed on the negative envelope as well. Occasionally the caption may be photographed, and the negative attached to the picture negative, so that subsequent prints will be captioned automatically.[20] Duplicate pictures

should also be captioned, according to Miss Luecke, and filed in numberical order separately from the reference copies.

Identification of photographs, especially in old collections, can be a problem. Clues to the documentation of the picture can often be taken from clothing styles, beards, calendars or other background miscellanea, or the type of print, e.g. Daguerrotype, ferrotype, or amblotype. A knowledge of some history of photographic method is sometimes helpful.[21] Valuable assistance in identification can usually be obtained from the community by means of displays or publicity.

No one arrangement of the reference print file will answer all problems, nor will captions accomplish any more than to identify each picture. Indexes are an eventual necessity, although an expensive and time-consuming tool to prepare. The type of finding aid devised will depend on the needs of the collection, the type of service usually required, and the funds and personnel available. A 3x5 card catalog is the usual answer for use within the repository itself, offering the best control of the material.[22] Locations of the negative and the print must be given, and all photos should be fully indexed before they are filed or shelved. For rapidly growing files, a complete subject index is advised,[23] including persons, places, subject. Without being too specific, indexing should include all topics in the caption together with a mini-print of the picture, if possible.[24] For small collections a system of coordinate indexing can be used, where items are listed by location or by number on subject heading cards.

Guides and lists, however, may be the only practical solution

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to control. They should be prepared eventually in order to publicize the extent of the holdings if there are important. A list records the main series in each group, describing them briefly and indicating size and degree of completeness. A guide describes all the groups in the collection. These tools are relatively simple to prepare and can be done, when the archivist is familiar with the files. Inventories and accessions lists are also useful, especially for collections arranged entirely by provenance.

Collections of undisputed value, drawing heavy use, may be worth calendering, but this is a luxury item, which is not usually possible

Finding aids for the University of Oregon picture archives are rudimentary. Many photographs lack systematic identification, except for date and place, and some are not dated. Preliminary indexes exist for the picture file and the lantern slides, but they need editing and updating. The usual problems of time, money and personnel hamper the project. The News Bureau has recently contributed about 10,000 negatives, packed tightly into hardboard boxes. Although numbered in sequence, the key to interpret the numbers is not in the Archives, and a long and expensive documentation project lies ahead. The negatives are being cleaned and refiled in Hollinger boxes. The collection has been made usable, but complete control looms large against the work force available, and it will take a great deal of time before the entire collection is a fully documented historical resource.

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2. Thomas, Joe D., "Photographic Archives", American Archivist (Oct. 1958) p.422.

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4. Schellenberg, p.326-327, 335. Also in Vanderbilt, Paul, "Filing your photographs: some basic filing procedures," History News (June 1966) p.117,119.

5. Baumhofer, Hermine, "Film records management", American Archivist (July 1956) p.240.

6. Thomas, p.423.

7. Baumhofer, "Film records management", p.241.

8. Ibid., p.242.

9. Schellenberg, p.326-327.

10. Vanderbilt, Paul, "Filing your photographs: some basic filing procedures," History News (June 1966) p.121.

11. Ibid., p.122-123.

12. Davidson, Helen L., "Handling pictures and audio-visual materials in company libraries and archives," Special Libraries (July/Aug. 1962) p.327

13. Vanderbilt, p.119.

14. Baumhofer, "Film records management," p1237.

15. Cobb, Josephine, "The still picture program in the National Archives," Special Libraries (Sept. 1954) p.272.

16. Vanderbilt, p.121.

17. Schellenberg, p.332.

18. Luecke, Camille P., "Photographic library procedures," Special Libraries,(Dec.1956) p.456.

19. Ibid., p.457.

20. Vanderbilt, p.122.

21. Taft, Robert, "History and pictures", Wisconsin Magazine of History (Summer 1955) p.210-212.

22. Several sources advised a card catalog as the goal. Schellenberg recommended beginning with person and place, adding subject subdivisions when possible. (p.337).

23. Schellenberg, p.337.

24. Vanderbilt, p.119.

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A good discussion of nitrate film is included.

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3. Cobb, Josephine, "Old photographs in the public domain," Special Libraries, v.47, Dec.1956, p.448-451.

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**7. Fisher, Barbara, Archivist of University of Oregon; Interview, Nov.20, 1969.

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**9. Luecke, Camille P., "Photographic library procedures," Special Libraries, v. 47, Dec. 1956, p.455-461.

A very valuable description of the International Press Service picture library, including detailed information about procedures, storage, retrieval, preservation, and use.

10. Reed, Daniel J., "The catalogue of American portraits," American Archivist, v.30, July 1967, p.453-458.

Discussion of the history and scope of this new picture reference tool, published by the National Portrait Gallery. Not used for this paper, but provided background material.

**11. Schellenberg, T. R., The Management of Archives, New York, Columbia University Press, 1965, p.322-343.

A good general treatment of pictorial materials, discussing all aspects of pictures as archives.

**12. Taft, Robert, "History and pictures," Wisconsin Magazine of

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History, v.38, Summer 1955, p.203-215.

Robert Taft is an authority on early methods of photography.

**13. Thomas, Joe D., "Photographic archives," American Archivist, v,21, Oct. 1958, p.419-424.

**14. Vanderbilt, Paul, "Filing your photographs: some basic procedures," History News, v.21, June 1966, p.117-124. (American Association for State and Local History. Technical leaflet, 36)

A very good, very clear discussion of techinal processes, recommended procedures, warnings, etc. Addressed primarily to local history societies, but a good primer, generally.

Addition material was located in the following references, but was not specifically used in this paper. It seems worthwhile to call attention to them and to their particularly technical value.

1. Eastman Kodak Co., Copying. Rochester, N.Y., 1962. (Advanced Data Book, Kodak publication no. M-1) 48pp.

An all-purpose handbook for copying by photographic methods; comprehensive detail. Bibliography: p.48.

2. Eastman Kodak Co., Prevention and removal of fungus on processed films. Rochester, N.Y., 1966. (Kodak customer service pamphlet, no. AD-22)

A very short (6 pages) leaflet describing fungus deterioration, conditions tending to encourage fungus growth, preventive measures. Available without cost through photo dealers.

3. Eastman Kodak Co., Processing chemicals and formulas for black and white photography. Rochester, N.Y., 1963(1968). (Professional Data Book; Kodak publication no. J-1), p.51, "Processing for permanence."

Processing in Hypro Eli inator HE-1 completely removes all hypo, and following with treatment in Kodak gold protective solution GP-1 coats print with gold. The new surface is harder, less susceptible to damage by atmosphere conditions, and is considered by Kodak to have "archival permanence." There is a slight color change, making the print appear blue-black.

SUBJECT FILING:

A Review and Critique

by

Jay Weston Rea

Lib. 507: Archives
Mr. David Duniway
June 1, 1970

SUBJECT FILING:

A Review and Critique of the Records Management Handbook

Subject Filing is a handbook designed to assist the records officer develop a filing standards manual. Subject filing is only part of the overall problem of designing a total file system. The handbook does not refer the user to another handbook, Files Operations, which reviews the total problem. In this respect the handbook is designed for a knowledgeable records officer. Subject Filing is not a tool to be given directly to the file clerk who is to be trained in the operation of the system.

The scope of the book is adequate to accomplish its task. One half the book is given over to the problem of establishing a classification system appropriate to an agency and to the selection of the most efficient coding system. Although the manual distinguishes between the classification system proper and the coding system, it stresses the importance of the benefits that coding contributes to the total system. The last half of the manual discusses procedures used for the preparation of a filing guide and classification outline. The final section reviews the operations essential to make the system perform effectively. There are no footnotes and no bibliography to refer the user to additional sources of help.

The "Guide to Systems for Arranging Files" found in the Files Operations handbook illustrates the kinds of problems the manager can expect to encounter in the development and use of a subject file for general correspondence. (13, p. 15-16)* Both of these

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*Refers to numbered items in the bibliography.

files handbooks are committed to the general standardization of filing systems on a coordinated systems model. (14, p. 5) The coordinated systems model consists of an agency manual that includes basic rules for coordinating all files and a subject classification for general administrative records. The classification attempts to control the total pattern of subject headings to be used in the filing system, but it allows decentralized offices to develop additional headings to meet specific functional needs of those offices. Such headings are to be developed using the basic rules of the agency manual. Subject Filing is a guide for the development of those basic rules and a general subject classification, and as such the handbook is an adequate tool for the records officer.

The problem with this guide is its simplicity and its clarity. In attempting to make the construction of a classification system understandable, the book may have sacrificed some necessary cautions about the intellectual difficulties to be encountered in developing and maintaining such systems. The handbook declares, for instance, that "the aim is standardization at the highest level of organization consistent with a useful classification scheme." (14, p. 5) The problems with this statement are legion. Although the rest of the book touches upon many specific difficulties it does so with a beguiling sense of assurance. The functional tests of how to determine the "highest level" and "useful" are not spelled out in detail. Only warning signs are posted, i.e., the accumulation of files detached from the centralized operation and the multiplication of indexes. Retrieval tolerances are not specified, i.e., what percentage of materials of what kinds can the agency afford to

lose? It is unfortunate that the subject of "auditing" is given only two rather short paragraphs. (14, p. 40)

Indexing by subject is the critical intellectual problem confronting modern information systems, whether they be libraries, archives, or records administration programs. (15 and 12) As Sherra notes, bulk is the prime factor in the breakdown of most classification systems. The problem presents itself as a choice between discriminating retrieval options based on physical units (books, documents, and case files) or options based on content analysis. In this sense Maclean's strictures against the shift in recordkeeping for evidential value to records management for information retrieval are only partially valid. (5) What he protests most is the potential loss in self-indexing subject files of the sequence of agency action on given units of work or transactions. He therefore prefers to arrange the files on a transaction basis and relegates subject control to indexes. Maclean is extremely harsh upon the American system's tendency to rely upon self-indexing subject files. His only concession to the nature of the real problem is his admission that the very complexity of modern transactions is creating filing problems.

The nature of that complexity is not specified by Maclean. Without an analysis of the nature of the complex demands upon modern information systems no classification scheme can be made to work. I would hazard a guess that it is the very synergistic character of modern social structure that is confounding subject analysis and classification. It is not that the tracing of activities and functions is no longer important in the recordkeeping of an

organization; it is simply that such activities and functions are not as discrete as we perhaps once thought. How things are related to each other is the critical problem any indexing and classification system attempts to solve.

The records and archives literature stresses repeatedly that classification and subject analysis has to do with functions, activities, and transactions as related to people, places, organizations, and times. Subject Filing emphasizes the requirements for developing the classification system for the particular functional needs of a given agency. The two fundamental problems encountered in classification and subject analysis are the abstract-concrete dichotomy and the user-classifier conflict. The semantic conflict can be ameliorated, if not solved, by careful attention to the actual terminology in use in an organization, by the judicious use of the knowledge of specialists in subject matter, by the avoidance of highly technical vocabulary unless absolutely required, and by building in feedback mechanisms for revision. The semantic problem is simply evidence of the continuing enlargement of knowledge and acitivity and should be accepted as such. A perfect match between user and classifier is unrealistic.

The problem of what is a subject is more fundamental. As the handbook illustrates subjects are to be defined in terms of functions and activities. Following this principle most filing systems tend to be built around concrete subjects (functions as defined by actual activities and transactions). Files constructed on this model would satisfy the requirements of evidential value for the sequence of agency action. What is unstated in the handbook and

much of the literature is that knowledge (and in this sense abstract subjects) is the consequence of action and what is produced may be relevant to many other actions and knowledges. While it is important to know the sequence of action that results in a policy or procedure, there may be aspects of this functional subject which are significant for other activities. It is this matter of interrelatedness that a classification and indexing system aims to solve. At this point in time much additional research must be done on decision-making processes and their information requirements before specific filing problems will be solved. Subject Filing, as an expression of the art, represents the distilled techniques of the traditional filing system at its highest state of development. Future filing systems must surely go beyond this rough functional subject analysis if the demands of society's decision-making processes are to be served.

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THE RECORD GROUP CONCEPT

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THE RECORD GROUP CONCEPT

"Thus, arrangement is the basic internal activity of an archival establishment."[1] Oliver W. Holmes' comment underscores the central place of arrangement in archival work. The task in Holmes' view begins in the archivist's surveillance of records in the active office to grasp their context in actual use and ends in the expression of arrangement in the various finding aids of the archives.

The arrangement of the California State Archives is generally illustrative of the crucial role of the record group concept in archival theory and practice. While the 1915 report of Edwin Head gives an accurate picture of the dispersal of California archives in many state offices, the report does show that an organizational concept was followed in arranging the records deposited with the Secretary of State.[2] The primary offices accounted for were the controller, the secretary of state, the state treasurer, and the governor's office. The archives of these offices however were physically separated in three storage facilities. Most of the archives of the secretary of state -- legislative records series, executive records series, election returns series, census reports, prison and insane-asylum records, maps and plans, letters to the secretary of state, statute laws, original laws, "Spanish Archives," state papers of governors Stoneman and Bartlett, and "other records" -- were in Vault No. 1. Vault No. 2 contained the census returns,

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[1] Oliver W. Holmes, "Archival Arrangement -- Five Different Operations at Five Different Levels," American Archivist, 27 (January, 1964), 41.

[2] Edwin L. Head, "Report on the Archives of the State of California," Annual Report of the American Historical Association for the Year 1915. (Washington: 1917). 284f.

corporation series, election papers -- all archives of the secretary of state. Executive and governor's papers are found in all three vaults. Many groups of miscellany are noted. In general then the arrangement of 1915 is not truly based on the modern record group concept, but tends more toward a limited record group arrangement with large subject groupings and collective groups of miscellany.

By contrast the current arrangement is based on the concept of the record group: "Each record group consists of records of a single department or of an independent agency and is broken into series and subseries conforming to the divisions and bureaus within the department."[3] The secretary of state's record group is illustrative. It is composed of three main series -- the legislative file which contains original statutes, journals, petitions, miscellaneous papers, and all bills filed with the clerk; the election series which contains returns on all local and state offices; and the corporation series which contains articles of association and incorporation.

The development of the record group concept was a direct consequence of the acceptance of the principle of provenance as the fundamental rule of archival arrangement.-- the "records should be arranged so as to show their source in an organic body or an organic activity."[4] The principle aims to preserve the "integrity of records in the sense that their origins and the processes by which they come into existence are reflected by their arrangement" and to "reveal the significance of records"

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[3]William N. Davis, Jr., "The California State Archives," American Archivist, 22 (April, 1959), 194-5.

[4]T. R. Schellenberg, The Management of Archives (New York: Columbia University Press, 1965), 90.

by preserving the documentary context in its original order.[5]

> Arrangement became then, for the records of any one agency, the task of determining and verifying the original order, filling and labeling of the archives containers to reflect it,[6] and shelving of the containers in the established order.

The record group concept was developed by the National Archives as a tool to control the volume and complexity of modern public records.[7] Prior to 1934 archives tended to be classified by the scheme characteristic of the superintending institution -- if a state library, then classification by subject; if a historical society, then a manuscript classification by chronology or geography. The emphasis in classification was upon rearranging archives for the convenience of the historical investigator who would search for material by subject, by date, by name, or by geographical area. The Manuscript Division of the Library of Congress did however adopt a chronological arrangement under organizational headings by departments.

The National Archives after a survey of systems of classification adopted in 1936 a policy of classifying by the history of an agency and its records and a listing of each agency's "series" in accordance with its organizational pattern. Paul Lewinson defined the general principle of classification,

> The objective determination, by the appropriate techniques of legal and historical research (when necessary), of the agency of origin and agency or agencies of custody of a group of records; and the similar determination of the functional types of records represented in the collection, and their

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[5]T. R. Schellenberg, Modern Archives; Principles and Techniques (Chicago: University of Chicago Press, 1956), 187.

[6]T. R. Schellenberg, "Archival Principles of Arrangement," American Archivist, 24 (January, 1961), 23.

[7]Frank B. Evans, "Modern Methods of Arrangement of Archives in the United States," American Archivist, 29 (April, 1966), 258.

> boundaries, temporally, geographically or otherwise objectively delimited.[8]

In 1941 the Report of the Committee on Finding Aids recommended the discontinuance of cataloging by accession and the substitution of the record group as the basis of the descriptive program. The record group was defined as

> a major archival unit established somewhat arbitrarily with due regard to the principle of provenance and the desirability of making a unit of convenient size and character for the work of arrangement and description and the publication of inventories.[9]

The factors in establishing a record group required by this definition are (1) the provenance of the records, (2) the size or volume of the records, and (3) the hierarchical status of the creating agency. The application of the concept in the operation of the National Archives is outlined by Oliver W. Holmes at five levels.[10] -- the depository, the record group and subgroup, the series, the filing unit, and the document.[10] At each of these levels the principles of provenance and original order are observed as far as possible. At the depository level arrangement can have a (1) chronological, (2) hierarchical, or (3) segmented basis. A chronological arrangement would arrange groups by date of creation of the agency. A hierarchical arrangement would be based on major organizational division and would show both the pattern of development and its chronology. A segmented arrangement would make a fundamental break between levels of government -- local and central. The National Archives itself adopted a broad subject arrangement

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[8] Paul Lewinson, "Problems of Archives Classification," American Archivist, 2 (July, 1938), 184.

[9] Evans, "Modern Methods", 256.

[10] Holmes, "Archival Arrangement," 21-41.

which corresponded to the tendency of government hierarchy to organize along subject areas.

At the record group level the problem is to identify both the creating agencies represented by the records and the records belonging to each agency. The National Archives unites subordinate groups under their superior bodies up to the bureau level. The record group thus established is the basic unit for administrative control, i.e. for arrangement, description, reference service, and statistical reporting.

Establishing the sequence of series is in Holmes' opinion the "heart of archival work." The objective is to present the series as maintained by the agency at any given time and through time. A series is defined as "composed of similar filing units arranged in a consistent pattern within which each of the filing units has its proper place."[11] The series within a record group may be ordered by organizational hierarchy, by function, by chronology, or by geographical coverage.[12] Holmes recommends a "logical" sequence of series by record type -- (1) correspondence, (2) indexes and aids precede series, (3) facilitating and housekeeping records. He also recommends that functions and sequences of action should govern the grouping of series, and larger series should be arranged by chronological period, by major breaks in the filing system, or by function. Schellenberg presents a similar set of priorities in sequence which illustrates the fluidity of the principle of arrangement by provenance. He sets the first priority on arrangement by hierarchical relations. If the series cannot

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[11] Holmes, "Archival Arrangement," 30.

[12] Schellenberg, Management of Archives, 170.

be arranged organizationally, then it should be arranged by function. And if functional arrangement is insufficient, then the archivist may devise any arrangement that facilitates use -- by type, by place, by time.[13] Holmes notes a number of complicating factors which make series arrangement difficult -- (1) changes in organizational structure; (2) changes in functions within and between organizations; (3) changes in filing schemes; (4) the existence of records of predecessor agencies only partially incorporated in the present series; (5) records reclassified or reorganized that have been incompletely reorganized.

The filing unit level is defined as "assemblages of documents relating to some transaction, person, case, or subject."[14] The arrangement operation at this level consists of checking to verify the original order and to correct obvious displacements. The process often involves an integration of files from chronological blocks and a re-integration of the original order. At the document level arrangement procedure insures the condition and treatment of documents within the file unit.

Of these five levels of arrangement the points at which the observance of provenance is crucial are the record group and the series. Of these two points the critical task is the identification and assignment of series to its proper place in a group. Kenneth Munden illustrates the numerous problems facing the archivist in identifying the series.[15] The archivist, he maintains, is faced with two options in considering a given file unit. He can determine

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[13] Schellenberg, Management of Archives, 170.

[14] Holmes, "Archival Arrangement," 33.

[15] Kenneth Munden, "The Identification and Description of the Record Series," American Archivist, 13 (July, 1950), 213-227.

to which series such a unit belongs and give it a place, thus reconstituting the original arrangement. Or he can give the items an entirely new order -- create an artificial series, group by subject, or group by form of document. The operative judgment in either case is whether the original order can be identified and, even if identified, whether it facilitates current reference use. Schellenberg seems to hedge upon the original order principle when he admits that although the arrangement of items in a series should show how things were done, the order of single items does "not usually" reveal such information.[16] In fact informational values in a series qualifies it for exemption from the original order principle altogether and for treatment by the most convenient system for informational reference.

This flexibility of the principles of provenance and original order in application to the series raises the question of the objective of the principles in the first instance. According to Schellenberg an observance of provenance and original order are intended to preserve the documentary context in administrative history, yet the complicating factors cited by Holmes and the practical problem of locating a given series in its proper hierarchical relationship have led to some criticisms of the record group concept. Mario Fenyo levels three criticisms against the National Archives application of the record group concept.[17] The concept is intended to protect the provenance of the entire federal fonds, but the organization of the National Archives record groups does not reflect the "organization and history of that government."

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[16] Schellenberg, "Archival Principles of Arrangement," 20f.

[17] Mario D. Fenyo, "The Record Group Concept: A Critique," American Archivist, 29 (April, 1966), 229-239.

The question is whether the concept of provenance is even applicable at the depository level. Second, the numerical symbols given each record group are useful only as locators. The title of a series is in fact the most useful guide internally to the content of the group. Yet the title does not indicate either the true sequence or actual presence of records in the archives. Third, the original concept included a provision for delimiting the record group by "convenient" size, yet there has been no observable operational definition of "convenient" size. Thus some record groups are massive in volume with corresponding problems of servicing;

Peter Scott argues that the objective of keeping archives in an administrative context can best be achieved by making the record series the fundamental basis of classification and physical arrangement and developing more thorough context control through registers and indexes. Such an arrangement would permit greater flexibility in management, more efficient storage and reference service, and accomplish the objectives of provenance and original order principles in a more rational and perceptible manner for the user of the archives.[18]

Scott identifies five problems with the record group as the fundamental unit of arrangement. First the records of a transferring agency do not in all cases provide "a meaningful administrative context and may interfere with the original order of items within a series." Second, the problem of a succession of creators cannot be solved without to some extent creating a false administrative context and destroying part of the original sequence of preceding creators. The life span of many series and

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[18] Peter J. Scott, "The Record Group Concept: A Case for Abandonment," American Archivist, 29 (October, 1966), 493-504.

agencies are not coextensive. Third, once a record group series is enumerated it is difficult to add a series accessioned at a later date. The options appear to be either disordering or a general renumbering, both of which are disturbing and costly administrative problems. The problem is one of capturing the dynamic quality of any potential record group. Fourth, the record group as a shelf group again poses problems for future accessions and the efficient storage of the present records. Fifth, the record group concept does not give sufficient attention to subdepartments and suboffices. "Archives created by" is not the same as "archives transferred by."

All of these problems Scott believes can yield to the solution of the record series concept. A "record series" he defines as,

> a group of record items, which, being controlled by numbers or other symbols, are in the same sequence of numbers or symbols, or which being uncontrolled by number or symbols, result from the same accumulation or filing process and are of similar physical shape and informational content.

The administrative context and association are to be recorded on paper. The result, he argues, would be a better physical control and processing and a better development in the control of the administrative context. The "record group" under this system would become "a listing on paper of series attributed to a given agency or person." One feature of this system would be a general history or analysis of the record keeping system that would be capable of extension to the series of records not yet in archival custody.

The assumption that the physical arrangement of archives should be governed by the principle of provenance above the series level is also to be questioned. This mystique of physical arrangement

as an actual shelf order is suggested by Schellenberg.

> Packing and labeling activities are the final steps in arrangement work. They reflect, outwardly, the order that has been given records as a result of a careful analysis of their inner relations.[19]

While physical proximity and unity have a very ready function at the document, file, and series levels, the necessity of such proximity on the record group and depository level may be questioned. The development of administrative history often forces compromises with strict arrangement by provenance. The merit of Scott's proposal is that it retains provenance and original order at its most essential levels, the series and below, and puts the problem of administrative context in a perspective free of the ~~necessities~~ necessities of processing, storage, and retrieval. The merit of this and other proposals shall undoubtedly occupy archivists in the future as they continue to reflect upon the ways to control the expanding masses of public archives.

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[19] Schellenberg, Management of Archives, 199-200.

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